

Amendments to the Claims

Please amend claims 1, 2, 4-7, 12 and 13. Please cancel claims 14-16. Please add new claims 17-20. The Claim Listing below will replace all prior versions of the claims in the application:

Listing of claims:

1. (Currently amended) An integrated system for providing financial services comprising:
 - at least one alert device comprising workstation for use by a human financial advisor for providing financial services to at least one investor, the workstation having a central processing unit and a video display screen;
 - at least one host server comprising a real-time investor monitoring system, the at least one host server connected to the at least one workstation alert device and an online investor transaction server system over a communication system, for transmitting information between a workstation and at least one host server and connected to an the online investor transaction server system operable to allow enabling investors to conduct investor mediated transactions therewith, the investor mediated transactions comprising orders to trade financial instruments;
 - an application interface operable on the workstation for accessing a plurality of finance related software applications comprising a real time market data application and a financial planning application; and
 - [[a]] the real-time investor monitoring system for monitoring receiving real-time data from the online investor transaction server system regarding the state of at least one investor mediated transactions transaction conducted by [[the]] an investor using [[on]] the online transaction system, wherein the investor monitoring system monitors an investor's account for at least one investor mediated transaction and communicates to the financial advisor a communication the real-time investor monitoring system transmitting the real-time data regarding the at least one investor mediated transaction to the at least one alert device; and on a real time basis upon detecting the at least one investor-mediated transaction,
 - the at least one alert device presenting the real-time data as an alert to enable

~~intervention~~ the financial advisor therewith able to proactively intercede in the at least one investor-mediated transaction and to provide timely proactive financial advice to investors.

2. (Currently amended) The integrated system as recited by claim 1, ~~wherein~~ further comprising:

an application interface displayed on a video display of the at least one alert device for accessing a plurality of finance-related software applications on the at least one host server, the plurality of finance-related software applications comprising a real-time market data application, a financial planning application and ~~further comprise~~ at least one finance-related software application selected from the group consisting of: a calculator application; a client information application; an opportunities application; an investment products application; an investment research application; and an office productivity application.

3. (Canceled)
4. (Currently amended) The integrated system as recited by claim ~~[[1]]~~ 2, wherein the real-time market data application provides real-time market data comprising at least one of: quotes, news, and historical and intraday charting.
5. (Currently amended) The integrated system as recited by claim ~~[[1]]~~ 2, wherein the real-time market data application provides a valuation ratings for at least one financial instrument.
6. (Currently amended) The integrated system as recited by claim ~~[[1]]~~ 2, wherein the application interface further includes a scratchpad application for moving information between applications.
7. (Currently amended) The integrated system as recited by claim 1, wherein the

communication system connects ~~a workstation~~ the at least one alert device to the at least one host server via the Internet.

8. (Canceled)
9. (Original) The integrated system as recited by claim 1, further comprising an authentication system for determining user entitlements and accessing a user preference profile.
10. (Original) The integrated system as recited by claim 9, wherein the authentication system populates the application interface based on the user entitlements.
11. (Original) The integrated system as recited by claim 9, wherein the authentication system provides access to all applications using a single logon process.
12. (Currently amended) [[A]] An alert device for providing financial services, the alert device operably connected to at least one host server over a communication system, the at least one host server comprising a real-time investor monitoring system that receives real-time data from an online investor transaction server system regarding the state of at least one investor mediated transaction conducted by an investor using the online investor transaction server system, the online investor transaction server system enabling investors to conduct investor mediated transactions, the investor mediated transactions comprising orders to trade financial instruments, the alert device ~~workstation for use by a human financial advisor in providing financial services to investors conducting investor mediated transactions over an online transaction system, the workstation comprising:~~
 - a central processing unit;
 - a video display screen;
 - ~~an application interface operable on the workstation for accessing at least one finance related software application; and~~
 - the central processing unit receiving the real-time data from the real-time [[an]]

~~investor monitoring system for monitoring investor mediated transactions conducted by the investor on the online transaction system, wherein the workstation is connected to at least one host server over a communication system which enables communication between the workstation and at least one host server, wherein the investor monitoring system monitors at least one investor account for regarding the state of the at least one investor mediated transaction and communicates to the financial advisor a communication regarding the at least one investor mediated transaction on a real-time basis upon detecting the at least one investor mediated transaction, and presenting the real-time data as an alert to enable intervention the financial advisor therewith able to proactively intercede in the at least one investor-mediated transaction.~~

13. (Currently amended) The ~~workstation~~ alert device as recited by claim 12, further comprising:

a video display;

the central processing units causing the display of an application interface on a video display to access at least one finance-related software application, wherein the financial-related software application comprises comprising at least one finance-related software application selected from the group consisting of: a calculator application; a client information application; an opportunities application; an investment products application; an investment research application; and an office productivity application.

14. through 16. (Canceled)

17. (New) A host server for providing financial services comprising:

a central processing unit programmed to connect to at least one alert device and an online investor transaction server system over a communication system, the online investor transaction server system enabling investors to conduct investor mediated transactions, the investor mediated transactions comprising orders to trade financial instruments; and

the central processing unit being programmed to execute a real-time investor

monitoring system that receives real-time data from the online investor transaction server system regarding the state of at least one investor mediated transaction conducted by an investor using the online investor transaction server system and that transmits the real-time data as an alert to enable intervention in the at least one investor-mediated transaction.

18. (New) The host server of claim 17 wherein the central processing unit of the host server is programmed to execute the real-time investor monitoring system to receive at least one transaction order relating to the at least one investor mediated transaction as input from the alert device and to enter the transaction order into the online investor transaction server system on behalf of the investor.
19. (New) The alert device of claim 12 wherein the central processing unit of the alert device is programmed to transmit at least one transaction order to the real-time investor monitoring system of the at least one host server, thereby causing the real-time investor monitoring system to enter the at least one transaction order into the online investor transaction server system on behalf of the investor, the at least one transaction order relating to the at least one investor mediated transaction.
20. (New) The integrated system of claim 1 wherein the real-time investor monitoring system receives at least one transaction order relating to the at least one investor mediated transaction as input from the alert device and enters the transaction order into the online investor transaction server system on behalf of the investor.